

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS, the specification of which was filed on November 13, 1997, as United States Serial No.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Mary Rose Scozzafava, Reg. No. 36,268; Sam Pasternack, Reg. No. 29,576; Mary Raynor Jimenez, Reg. No. 37,219; David J. Powsner, Reg. No. 31,868; Brenda H. Jarrell, Reg. No. 39,223; Douglas D. Robinow, Reg. No. 40,787; and Kevin M. Tormey, Reg. No. 41,351.

Address all telephone calls to Mary Rose Scozzafava at (617) 248-5138.

Address all correspondence to Mary Rose Scozzafava at Choate, Hall & Stewart, Exchange Place, 53 State Street, Boston, Massachusetts 02109.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: Moungi Bawendi

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: 4 Trowbridge P. #3F, Cambridge, Massachusetts 02178

Citizenship: United States of America

Post Office Address: same

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Applicant: Bawendi et al.

Examiner:

Serial No.:

Art Unit:

Filed: November 13, 1997

Attorney Docket No.: 0492611-0289

For: HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9 (F) AND 1.27 (D)) - SMALL BUSINESS CONCERN

I hereby declare that I am:

- ( ) the owner of the small business concern identified below:  
( x ) an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Massachusetts Institute of Technology

ADDRESS OF CONCERN: 77 Massachusetts Avenue, Cambridge, MA 02139

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS by Mounji Bawendi, Klavs Jensen, Bashire Dabbousi, Xavier Rodriguez-Viejo and Frederic Victor Mikulec described in

- (XX) the specification filed herewith  
( ) application serial no. 08/808,120, filed February 28, 1997  
( ) patent no. , issued

If the rights of the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named

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person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

( ) Individual ( ) Small Business Concern ( ) Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

( ) Individual ( ) Small Business Concern ( ) Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE OF PERSON:

ADDRESS OF PERSON: 77 Massachusetts Avenue, Cambridge, MA 02139

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

Full name of second inventor: Klavs F. Jensen  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence: 103 Outlook Drive, Lexington, Massachusetts 02173  
Citizenship: United States of America  
Post Office Address: same

Full name of third inventor: Bashire O. Dabbousi  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence: \_\_\_\_\_  
Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of fourth inventor: Xavier Rodriguez-Viejo  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence: Cami de Can Gatzet 57 3-1, 08190 Sant Cugat del Valles, Spain  
Citizenship: Spain  
Post Office Address: same

Full name of fifth inventor: Frederic Victor Mikulec  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence: 96 Willow Avenue, Apt. 2, Somerville, Massachusetts 02144  
Citizenship: United States of America  
Post Office Address: same

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## ASSIGNMENT

**WHEREAS**, We, **Moungi Bawendi** of Cambridge, Massachusetts; **Klavs F. Jensen** of Lexington, Massachusetts; **Bashire O. Dabbousi** of ; **Xavier Rodriguez-Viejo** of Sant Cugat del Valles, Spain; and **Fredreric Victor Mikulec** of Somerville, Massachusetts; having invented certain new and useful improvements in **HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS** for which We have made application for United States Letters Patent, the said application filed on November 13, 1997, 1997 as U.S. Serial No. \_\_\_\_\_; and

**WHEREAS**, MASSACHUSETTS INSTITUTE OF TECHNOLOGY a non-profit educational institute having offices at 77 Massachusetts Avenue, Cambridge, Massachusetts, and its successors and assigns (collectively hereinafter called "the Assignee"), is desirous of acquiring my entire right, title and interest in and to the invention, and in and to the said application and any Letters Patent that may issue thereon;

**NOW THEREFORE**, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledge, I do hereby sell assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive right, title and interest in and to said invention and in and to said application and all patents which may granted therefore, and all divisions, reissues, substitutions, continuations; and I hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as my interest is concerned, to the said ASSIGNEE of my entire right, title and interest.

I also hereby sell and assign to said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive rights, title and interest to the invention disclosed in said application throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world, including all rights of priority, all rights to publish cautionary notices reserving ownership of said invention, and all rights to register said invention in appropriate registries; and I further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such rights, title and interest in ASSIGNEE, its successors, assigns and legal representatives.

I hereby further agree that I will communicate to said ASSIGNEE, or to its successors, assigns and legal representative, any facts known to me respecting any improvements; and, at the expense of said ASSIGNEE, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make all lawful oaths, and generally do everything possible to vest title in said ASSIGNEE and to aid said ASSIGNEE, its successors, assigns and legal representatives to obtain and enforce proper protection for said invention in all countries.

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08/969302  
11/13/97

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Moungi Bawendi**

STATE OF \_\_\_\_\_.  
SS.

COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Moungi Bawendi** known to me to be the person whose name of subscribed to the  
foregoing Assignment and acknowledged that he executed the same as his free act and  
deed for the purposes therein contained.

.....  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Klavs F. Jensen**

STATE OF \_\_\_\_\_.  
SS.

COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Klavs F. Jensen** known to me to be the person whose name of subscribed to the  
foregoing Assignment and acknowledged that he executed the same as his free act and  
deed for the purposes therein contained.

.....  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Bashire O. Dabbousi**

STATE OF \_\_\_\_\_.  
SS.  
COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Bashire O. Dabbousi** known to me to be the person whose name of subscribed to the  
foregoing Assignment and acknowledged that he executed the same as his free act and  
deed for the purposes therein contained.

[Notary's Seal Here]

.....  
NOTARY PUBLIC  
My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Xavier Rodriguez-Viejo**

STATE OF \_\_\_\_\_.  
SS.  
COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Xavier Rodriguez-Viejo** known to me to be the person whose name of subscribed to the  
foregoing Assignment and acknowledged that he executed the same as his free act and  
deed for the purposes therein contained.

[Notary's Seal Here]

.....  
NOTARY PUBLIC  
My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Frederic Victor Mikulec**

STATE OF \_\_\_\_\_.  
SS.  
COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Frederic Victor Mikulec** known to me to be the person whose name of subscribed to the  
foregoing Assignment and acknowledged that he executed the same as his free act and  
deed for the purposes therein contained.

[Notary's Seal Here]

.....  
NOTARY PUBLIC

My Commission Expires: